

EXPRESS MAIL LABEL NO.: EV 333 489 029 US

PATENT

Attorney Docket No. 29912-704.201

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Initial Application )

PATENT APPLICATION

Inventor(s): Adams et al. )

Art Unit: 3732

Application No.: 10/003,910 )

Examiner: S. Getzow

Filed: November 1, 2001 )

Title: FOCUSED COMPRESSION MITRAL  
VALVE DEVICE AND METHOD )

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

Applicant(s) reserve(s) the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

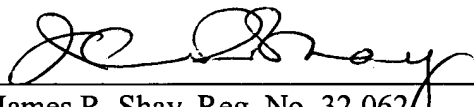
- ☒ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
- ☐ (3) It is being filed before the mail date of the first Office Action on the merits  
-- OR --
- ☒ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- ☐ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; **or**
- ☐ a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; **and**
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ Copies of each of the references listed on the attached Forms PTO-1449 are enclosed herewith. Due to the voluminous nature of the references, each reference is provided in PDF format on the attached CD ROM, clearly titled by publication number or author.
- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☒ This Information Disclosure Statement was filed on April 2, 2004, with all of the references listed on the PTO-1449 enclosed. These references are available to the Examiner, and copies are therefore not enclosed herewith.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

- ☐ Copies of only foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR 1.98 (a)(2). (The U.S. patents and each U.S. patent application publication listed on the attached Form PTO-1449 are not enclosed because this U.S. patent application was filed after June 30, 2003 or this international application has entered the national stage under 35 USC §371 after June 30, 2003 (see USPTO waiver of requirement under 37 CFR 1.98 (a)(2)(i)).
- ☒ There are no listed references which are not in the English language.
- ☐ The relevance of those listed references which are not in the English language is as follows:
- ☐ Attached are copies of search report(s) from corresponding patent application(s), which are listed on the attached Submission Under MPEP 609 D.
- ☐ Attached are the following non-published pending patent applications which may be deemed relevant, which are listed on the attached Submission Under MPEP 609 D.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge the above-referenced fees of \$0 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 23-2415 (Docket No.29912-704.201).

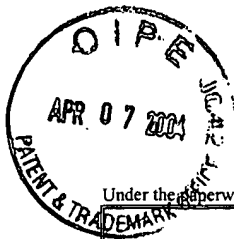
Respectfully submitted,

WILSON SONSINI GOODRICH & ROSATI

Dated: 4/7/04

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PTO/SB/08A (10-01)

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U.S. Patent and Trademark Office: U.S. Department of Commerce

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				<b>Application No.</b>	10/003,910
				<b>Filing Date</b>	November 1, 2001
				<b>First Named Inventor</b>	Adams et al.
				<b>Art Unit</b>	3762
				<b>Examiner Name</b>	S. Getzow
<b>Sheet</b>	<b>1</b>	<b>of</b>	<b>4</b>	<b>Attorney Docket No.</b>	29912-704.201

U.S. PATENT DOCUMENTS					
Examiner's Initials	Cite No. <sup>1</sup>	Document No.	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-2001/0044568-A1	07/19/2001	Langberg et al.	
		US-2001/0049558-A1	12/06/2001	Liddicoat et al.	
		US-2002/0016628-A1	02/07/2002	Langberg et al.	
		US-2002/0035361-A1	03/21/2002	Houser et al.	
		US-2002/0042621-A1	04/11/2002	Liddicoat et al.	
		US-2002/0042651-A1	04/11/2002	Liddicoat et al.	
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		US-2002/0055774-A1	05/09/2002	Liddicoat	
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		US-2002/0087173-A1	07/04/2002	Alferness et al.	
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		US-2002/0103532-A1	01/30/2001	Langberg et al.	
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		US-2002/0138044-A1	09/26/2002	Streeter et al.	
		US-2002/0169502-A1	11/14/2002	Mathis	
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		US-2003/0018358-A1	01/23/2003	Saadat	
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		US-2003/0078465-A1	04/24/2003	Pai et al.	
		US-2003/0078654-A1	04/24/2003	Taylor et al.	
		US-2003/0083538-A1	05/01/2003	Adams et al.	
		US-2003/0105520-A1	06/05/2003	Alferness et al.	
		US-2003/0130731-A1	07/10/2003	Vidlund et al.	
		US-2003/0135267-A1	07/17/2003	Solem et al.	
		US-2003/0144697-A1	07/31/2003	Mathis et al.	
EXAMINER SIGNATURE		DATE CONSIDERED			

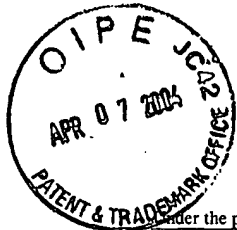
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1 Applicant's unique citation designation number (optional) 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST .3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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<b>Sheet</b>	<b>2</b>	<b>of</b>	<b>4</b>	<b>Attorney Docket No.</b>	29912-704.201

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		Number-Kind Code <sup>2</sup> (if known)			
		US-2003/0171776-A1	09/11/2003	Adams et al.	
		US-2003/0171806-A1	09/11/2003	Mathis et al.	
		US-2003/0212453-A1	11/13/2003	Mathis et al.	
		US-4,055,861	11/01/1977	Carpentier et al.	
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		US-5,061,277	10/29/1991	Carpentier et al.	
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		US-5,514,161	05/07/1996	Limousin	
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		US-5,935,161	08/10/1999	Robinson et al.	
		US-5,961,545	10/05/1999	Lentz et al.	
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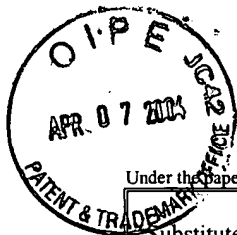
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		US-5,984,944	11/16/1999	Forber	
		US-6,027,517	02/22/2000	Crocker et al.	
		US-6,077,295	06/20/2000	Limon et al.	
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		US-6,402,781-B1	06/11/2002	Langberg et al.	
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		US-6,503,271-B2	01/07/2003	Duerig et al.	
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		US-6,569,198-B1	05/27/2003	Wilson et al.	
		US-6,589,208-B2	07/08/2003	Ewers et al.	
		US-6,602,288-B1	08/05/2003	Cosgrove et al.	
		US-6,602,289-B1	08/05/2003	Colvin et al.	
		US-6,623,521-B2	09/23/2003	Steinke et al.	
		US-6,626,899-B2	09/30/2003	Houser et al.	
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		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		WO 00/44313-A1	08/03/2000	Viacor Inc.		
		WO 00/60995-A3	10/19/2000	Evalve, Inc.		
		WO 01/00111-A1	01/04/2001	J. Solem et al.		
		WO 01/50985-A1	07/19/2001	Viacor, Inc.		
		WO 01/87180-A2	11/22/2001	B. Gaber		
		WO 02/00099-A2	01/03/2002	Viacor, Inc.		
		WO 02/01999-A2	01/10/2002	Viacor, Inc.		
		WO 02/05888-A1	01/24/2002	Viacor, Inc.		
		WO 02/19951-A1	03/14/2002	Viacor, Inc.		
		WO 02/34118-A2	05/02/2002	Viacor, Inc.		
		WO 02/47539-A2	06/20/2002	Viacor, Inc.		
		WO 02/62263-A2	08/15/2002	Viacor, Inc.		
		WO 02/62270-A1	08/15/2002	J. Solem et al.		
		WO 02/62408-A2	08/15/2002	Viacor, Inc.		
		WO 02/76284-A2	10/03/2002	Viacor, Inc.		
		WO 02/78576-A2	10/10/2002	Viacor, Inc.		
		WO 02/96275-A2	12/05/2002	Viacor, Inc.		
		WO 03/49647-A1	06/19/2003	O. Reitan		
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